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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of:

HOWORKA, E.

Serial No.: 09/707,824

Filed: 11/7/00

For: ANONYMOUS TRADING SYSTEM WITH IMPROVED QUOTE INPUT CAPABILITIES

Our Ref.: P/3331-111 (Cont.)

Date: May 9, 2001

Group Art Unit: --

Examiner: --

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MAY 15 2001

Assistant Commissioner of Patents  
Washington, D.C. 20231

Technology Center 2100

SUBMISSION

Sir:

<input checked="" type="checkbox"/>	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner. The references listed were cited in the parent application (Serial No. 09/029,181, filed 6/15/98) in a Supplemental Notice of Allowance issued 4/24/01.
<input type="checkbox"/>	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached.
<input type="checkbox"/>	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below.
<input checked="" type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)).
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<input type="checkbox"/>	This submission is being made after the issuance of the first Office Action and without a certification. The fee of \$180.00 under 37 C.F.R. §1.17(p) is attached.
<input type="checkbox"/>	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. §1.17(I). A certification under 37 C.F.R. §1.97(e) is set forth above.

## EXPRESS MAIL CERTIFICATE

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613108869US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on May 9, 2001:

Dorothy Jenkins

Name of Person Mailing Correspondence

Signature

May 9, 2001

Date of Signature

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